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ABSTRACT

An evaluation of the Alabama Commission on Higher Education was conducted by a special committee. The committee unanimously agreed that the commission should be strengthened, since it has the obligation to coordinate higher education but lacks the needed resources and authority. The committee recommended that the commission have authority and responsibility for at least the following: long range planning, program approval and review, budget review and recommendation, and data collection and dissemination. Specific recommendations to the state and to the commission are offered. The entire text of the state legislation that established the commission is included to delineate the powers of the commission. This evaluation concentrates on the major mandated functions of establishing a university and college information system, undertaking review of academic programs, and recommending a consolidated budget for higher education. An assessment is also made of the planning function and of commission administration of new activities since 1975. A list of publications of the commission are included. (SW)

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ALABAMA'S CHALLENGE:

HIGHER EDUCATION FOR THE 1980's

REPORT OF THE SECOND SPECIAL COMMITTEE
TO EVALUATE THE ALABAMA COMMISSION ON
HIGHER EDUCATION

MARCH 1979

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EVALUATION COMMITTEE
ON THE
ALABAMA COMMISSION ON HIGHER EDUCATION

P.O. Box 2243, Montgomery, Alabama 36103

March 1979

The Honorable Fob James
Governor of Alabama
Montgomery, Alabama 36104

Dear Governor James:

The undersigned members of the Committee to Evaluate the Alabama Commission on Higher Education, created pursuant to Act No. 14 of the 1969 legislature, are pleased to submit to you this report.

As further charged by that statute, we are mailing copies of this report directly to members of the legislature, the presidents and governing boards of the institutions of higher education in this State and it is being made available to the general public.

J. Gilmer Blackburn, Chairman
Decatur, Alabama

Dr. Robert Berdahl, Vice Chairman
Chairman and Professor of Higher Education
SUNY - Buffalo, New York

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PREFACE: ORIGIN AND PROCEDURES OF THE EVALUATION COMMITTEE

Act No. 14 of the Special Session of the 1969 Alabama state legislature established the Alabama Commission on Higher Education (ACHE) and gave it the following purpose:

> . . . promoting an educational system that will provide the highest possible quality of collegiate and university education to all persons in the State able and willing to profit from it; . . . (and providing) for continuous study, analyses, evaluation, planning reporting and recommendations for long-range planning with established priorities on a statewide basis to assure a sound, vigorous, progressive and coordinated system of higher education for this State.

Unique among the state laws creating such statewide boards in 46 other states, Act No. 14 also provided that ". . . during the last year of each gubernatorial term, the Commission shall appoint a committee of at least three consultants who are not associated with higher education in this State to evaluate the effectiveness of the work of the Commission and to recommend changes as needed "

The first Evaluation Committee was appointed in September 1974 and reported in April 1975: The Alabama Commission on Higher Education: An Evaluation. Later in this report we review and comment on some of the findings of that first effort.

This, the second Evaluation Committee, was appointed in September 1978 by Mr. J. Pelham Ferrell, Chairman of the Alabama Commission, and consists of nine individuals,* five Alabamians not formally associated with higher education in the State and four persons from out of

* Biographical information on each committee member is included in Appendix E.

state experienced in various areas of higher education. This mixture of in-state and out-of-state, of lay and professional persons, was a wise way to proceed. This Committee operated independently of the Alabama Commission on Higher Education except for the Commission providing requested information and giving logistical assistance in arranging meetings, circulating background materials, paying bills, etc. No members of the Commission or its staff sat with the Committee during its deliberations except when being interviewed. The Committee received the complete cooperation of the Commission and its staff, particularly of Dr. Elizabeth French who served as Commission staff liaison for the evaluation process.

The Committee requested written and/or verbal statements about the effectiveness of the Commission from several hundred Alabamians, ranging from obvious informants in the universities and colleges, through the entire range of state legislators, old and new, and even to interested citizens' associations such as the League of Women Voters and the State Chamber of Commerce. As a result, over 50 letters were received and direct testimony from 40 witnesses was heard. The Committee would like to express its appreciation to all those who took the time to write or to appear before it and to assure those persons that due care has been taken to protect the confidentiality of their testimony.

The Committee's reading of the relevant documents, its interviews with educational, political and civic leaders, discussion with Commission members and staff, and attendance at one Commission meeting

have all contributed to a deepening understanding of the general problems of coordinating and planning higher education in Alabama. While many of the subtleties may still have eluded its collective grasp, the Committee nevertheless offers the following recommendations with considerable vigor, convinced that the broader points it is making would be repeated by any other similarly-constituted evaluation committee.

This evaluation is divided into three parts: a brief statement of the basic finding and a summary of recommendations; a section responding to one charge: "to evaluate the effectiveness of the work of the Commission"; and a third addressed to the other charge: "to recommend changes as needed."

This report, like all documents written by a committee, represents the exact thinking of no single member; but all members are in sufficient agreement on the general value of the recommendations to urge unanimously that the political and educational leadership of the state cooperate in having them implemented and thereby bring an already good system of higher education several degrees closer to an excellent one.

SECTION I

BASIC FINDINGS AND SUMMARY OF RECOMMENDATIONS

The Committee finds it difficult to make a precise evaluation of the performance of the Commission because, under existing legislation, the Commission has a seemingly impossible task. It has the obligation to coordinate higher education but lacks the authority and the resources to do so. While it does perform valuable functions, it does not and cannot function as an effective coordinating agency.

The Committee is unanimous in its basic finding in favor of effective coordination for Alabama through a strengthened Commission.

The Committee considered several alternatives. Abolition of the Commission was rejected as marking a return to unbridled institutional competition. A single board governing all institutions was also rejected by the Committee as being neither feasible nor desirable for Alabama. The Committee recommends strengthening the existing Commission in such a way as to make it an effective coordinating agency for the state. Specifically, the Committee recommends a Commission having authority and responsibility for at least the following:

Long Range Planning
Program Approval and Review
Budget Review and Recommendation
Data Collection and Dissemination

On the basis of this finding, the Committee makes the following

recommendations to the State Government and to the Commission.

RECOMMENDATIONS

A. To State Government

The legislation establishing the Commission should be strengthened as follows:

1. *To fix clear responsibility upon the Commission for long range planning for Alabama's system of higher education. (The creation of a State Plan is essential and urgent. The Commission should be given the mandate to develop it without delay. A one-time appropriation to fund a special effort immediately should be considered.)*

2. *To provide the Commission with final approval authority for new programs and new campuses, and with review authority for existing programs. No academic programs or new campuses should be initiated or funded prior to approval by the Commission except by specific act of the legislature.*

3. *To expand membership on the Commission from nine to fifteen members. This will make possible more and effective use of committees as well as to provide for broader representation.*

4. *The State also should make available adequate resources to attract and hold the number and quality of staff needed to perform the legally assigned functions. Experienced, competent, senior-level persons are absolutely essential in such areas as Planning, Academic Affairs, Budget and Finance, and Systems Information.*

B. To The Commission:

The Committee further recommends that the Commission give immediate and continuing attention to the following:

5. *Planning. An intensive effort should be begun*

at once to prepare a state-wide plan for Higher Education in Alabama. As a minimum, such a plan should give consideration to the following topics: goals, enrollment projections, mission and function statements, financing (including operating and capital expenditure budgets), and such other special concerns as may be unique to Alabama.

6. Two-Year Institutions. The state-wide plan should give particular attention to the role and governance of two-year institutions. The State Board of Education serves as a board of trustees for the two-year schools. Inadequate recognition of this fact has contributed to confusion as to roles between the Commission and its staff and the Board and its staff. Clarification of roles is essential to the resolution of conflict and the maintenance of a cooperative working relationship.

7. Budget and Finance. The Commission should improve its procedures and funding formulas to provide equity and adequacy in review of institutional budgets. Close attention should be given to formula revision, budget calendar reconsideration, and the establishment of a process to deal with capital needs.

8. Meetings of the Commission. The Commission should meet more frequently and use subcommittees to provide in-depth consideration of particular matters.

9. Relations with State Government. The Commission should recognize the necessity for improving its relationship with the Executive Office, the Legislature and state agencies.

10. Campus relationships. The development of a successful system and the implementation of the state plan requires cooperation between the Commission and the institutions, including the two-year ones. The Committee recommends that renewed efforts be made to re-establish a network of advisory committees so as to take advantage of the knowledge and experience of the institutional representatives

and to improve communication between the Commission and all the campuses.

CONCLUSION

These recommendations require that the State of Alabama make both a decision and a commitment with regard to the coordination of higher education: a decision as to the kind and quality of statewide coordination it proposes to have, and a commitment to provide the support (legal, political and financial) necessary to implement that decision. This is the challenge if Alabama is to continue to improve the quality of higher education in the state and make the most effective use of its funds.

SECTION II

"TO EVALUATE THE EFFECTIVENESS"

The Problem of Evaluation Criteria

The Committee found no pre-existing sets of formal criteria for evaluating statewide coordinating boards to be entirely applicable to the particular conditions existing in Alabama. (Appendix F provides a brief description of the sets of criteria from other sources which the Committee considered.) In the absence of formal criteria, three summary questions were posed -- to persons responding by letter, to persons testifying, and to the Evaluation Committee itself in determining its conclusions:

1. What has the Alabama Commission done well? Why?
2. What has the Commission done poorly? Why?
3. In the light of the reasons offered for the Commission's successes and failures, what changes are needed to meet future problems?

The Effectiveness of the Alabama Commission

Probably after posing questions similar to those just listed, the 1975 Evaluation Committee concluded that the Alabama Commission on Higher Education had "substantial and significant accomplishments to its credit" and that most critics "unreasonably expect(ed) too much too soon". Four years later, this Committee finds substantial

and significant new layers of accomplishments which justify the Commission's existence, but also new layers of problems which potentially threaten its future effectiveness. An evaluation of "past performance" follows while the next Section identifies those major problems which have brought this Committee to recommend rather sweeping "needed changes".

An evaluation of past performance must begin with the recognition that an agency granted no real legal powers cannot in justice be held responsible for its failure to hold back all unnecessary duplication in academic programs or branch campus operations. Rather, a more legitimate summary assessment would be found in the answer to this question: "Has the existence of the Commission with only advisory powers for program and budget review, and with a data base for comparative purposes, led to more effective planning and use of resources on the part of the institutions, and to better understanding of the purposes and needs of the institutions on the part of the legislative and executive branches and the public?"

The Evaluation Committee confidently believes the answer to this question is affirmative, although it recognizes that some among the institutions or in state government would not necessarily agree. To a certain extent this relates to the confusion which exists in some minds about the proper role for a statewide coordinating board like the Alabama Commission on Higher Education. Ironically, the more successful boards may have to operate at least partially on a principle of equal and opposit unpopularity: governmental figures will be

sure that the Commission is acting as an advocate for the institutions of higher education, while those in the universities and colleges will be certain that it is functioning essentially as an arm of state government. If either "side" were to be too pleased with the Commission's performance, it would raise questions about whether it was reaching the right balance in its delicate quest. It is the Evaluation Committee's judgment that, given the Commission's existing powers, it has until now struck as good a balance as could be expected.

What are these existing powers, and how has the Commission done with respect to exercising them? Appendix A presents the entire text of Act No. 14 of the 1969 state legislature which established the Commission. This evaluation concentrates on the major mandated functions of establishing a University and College Information System, undertaking review of academic programs and recommending a consolidated budget for higher education. Then an assessment is made of the planning function and of Commission administration of a whole host of new activities given to this body since 1975.

Cost studies and facilities' inventories currently underway are an indication that progress continues to be made toward establishing the University and College Information System, but a major setback in this area was caused by the need to retrench the senior staff person involved in 1975 when the state legislature cut the Commission's operating budget from $300,000 to $200,000. While since that time funds have been restored and some additional staff acquired,

completion of the Information System has been delayed by the need to use the staff to administer several new responsibilities assigned to the Commission (listed below p.11).

Even without final powers of program approval, Commission work in reviewing new academic programs has been impressive. To the credit of both the Commission and the institutions involved, most universities and colleges accept most Commission program "advice" most of the time, and program development in Alabama has been more orderly because of it. Furthermore, the formal record of recommended approvals and disapprovals does not reveal all the additional programs contemplated but not formally proposed because of anticipated negative reactions from the Commission. Nevertheless, this Committee sensed that the existing voluntary pattern is now under considerable strain. To the occasional instances of refusal to accept negative recommendations concerning new programs must be added the rampant growth in existing programs through off-campus extensions. In Section III the Evaluation Committee offers a recommendation to strengthen Commission powers of program review.

Another major area of activity has been budget review. The Commission has made a heavy commitment of staff and Commission time to conducting a statewide formula budgeting analysis and to presenting the state government with a unified budget document. In Section III the Evaluation Committee offers recommendations to bring the now-five-year-old formula system imported from Texas up-to-date, to provide the budget advice to the state in a more timely fashion, and to

expand Commission activities relative to capital and maintenance expenditures. Here it is appropriate to recognize that the work accomplished so far has already rendered an important service in bringing more systematic and equitable analysis to the review of higher education budgets in Alabama.

A major indirect benefit of the Commission's existence and mode of operating has been its catalytic role in getting the institutions to establish their own institutional research offices and learn much more about their own affairs. In the long run this may be one of the key Commission accomplishments.

Although long-range planning is mentioned prominently in the Preamble to Act No. 14, there is no explicit mandate in the Act itself to undertake that task. There is, however, a passing charge to the Commission "to cause to be made . . . surveys and evaluations of higher education" and over the years, the Commission has issued a wide variety of studies which, while falling far short of constituting comprehensive long-range planning, nevertheless have contributed valuable information to the decision-making about higher education in Alabama. (Appendix D lists the Commission publications since its inception.) The Evaluation Committee found those studies to be of generally high quality and appropriate.

Notwithstanding the lack of an explicit charge for long-range planning, the Commission followed the spirit more than the letter and issued Planning Document Number One in 1975 on institutional role and scope, as the first of an intended series of planning documents. The

1975 Evaluation Committee duly noted this commitment and urged that "ACHE must now intensify its efforts to establish priorities in support of an overall plan".

The grim facts, however, are that no further planning documents have appeared. It is easy to understand why. The already-mentioned legislative cuts of the Commission's operating budget in 1975 necessitated staff reductions affecting not only the Information System but also the planning process. Later, when more funds became available, most additional staff hired were needed to administer the several new functions (e.g. student assistance and federal programs) placed under Commission jurisdiction.

One of these additional functions, that related to the Commission with augmented membership serving as the state 1202 Commission (discussed in greater detail later), does explicitly point the Commission toward comprehensive state planning, but provides only a modest federal subsidy to undertake it. In October 1978 the Commission used these 1202 funds to sponsor a statewide conference on planning for the 1980-85 period, but its timetable for planning did not indicate the availablity of the necessary quantity and quality of staff to complete a state plan expeditiously. In Section III the Evaluation Committee makes long-range planning the topic of its principal recommendations.

Finally, in evaluating the Commission's performance, it is important to note the already mentioned heavy load of additional activities assigned to it.

Since 1975 the Commission:

--- with augmented membership became the state 1202 Commission;

--- was designated the state agency to collect the Higher Education General Information Survey (HEGIS) data in Alabama, as part of a national program administered by the Department of Health, Education and Welfare;

--- was named by the Equal Employment Opportunity Commission of the federal government to serve as the agency for coordinating the collection of the 1977 Higher Education Staff Information Survey;

--- was designated as the state agency to administer the currently unfunded programs of Titles VI and VII of the Higher Education Act of 1965, dealing respectively with equipment and facilities grants;

--- was named as the state agency to deal with the Southern Regional Education Board in Atlanta as it attempts to coordinate an Academic Common Market plan across the SREB states;

--- was designated as the agency to administer the Alabama Student Assistance Program and the Alabama Student Grant Program.

Nearly all of the above new functions are relevant to the Commission's general mission and many were recommended for its jurisdiction by the 1975 Evaluation Committee. Furthermore, most of them brought sufficient additional funds to hire more staff to administer them. The Committee heard no serious criticisms about the Commission's administration of these programs. Nevertheless, their net effect in the short run may have been to distract the time energy and attention of many Commission staff from the more crucial central concerns -- in

particular, the planning process and the good advisory networks to back it up. Implementation of the recommendations in Section III should help to restore correct Commission priorities.

In discussing the distraction of staff time, energy and attention, it is also appropriate to note that the hostility of some legislators, indicated by the budget cut in 1975, probably became a source of continuing distraction. Later legislative sessions brought forth some bills to abolish the Commission. Although they were unsuccessful, it must have been difficult for the staff, already reduced from 13 to 8 persons, not to find their minds running often to personal and agency survival rather than to the Commission business at hand, and the need to plan ahead!

As far as this Evaluation Committee could tell, most of the legislative hostility to the Commission came from powerful political leaders in one chamber who found it too closely identified with some of their political opponents then actually serving on the Commission itself. There are now no active solons on the Commission and in Section III the Evaluation Committee recommends that no more be appointed during the periods they are actively serving in the legislature. Quite apart from possibly serving as lightning rods, legislative members raise questions about conflict of roles when they serve as supposedly equal members on state commissions to whose advice they must later respond.

Finally, the Evaluation Committee has assessed the position of the Commission "in the middle" between the state government and the

institutions. In this position it is vital for the Commission to maintain healthy links with each side.

Commission relations with both state government and the institutions seem to be uneven. Although most state government figures testifying before the Evaluation Committee supported the Commission and wanted to strengthen it further, there were also complaints that Commission members and staff were not sufficiently visible in the important political circles. In Section III a recommendation is offered to improve matters in this domain.

An assessment of Commission relations with the institutions would have the same mixed verdict as that found in the 1975 evaluation: with few exceptions, its contacts with the senior institutions have been quite good, while with only minor improvements, Commission relations with the two-year institutions have remained unsatisfactory.

The lingering nature of several of the problems connected with two-year institutions seems to call for extended comment. Insofar as some of the causes lie in past Commission/two-year institution relationships, those issues will be treated here and in greater detail in Appendix G. Insofar as other continuing problems are linked to future questions concerning the basic patterns of structure and governance of two-year institutions, those matters will be dealt with in Section III.

The 1975 Evaluation Committee identified two major problems in Commission relations with two-year institutions: an absence of any senior staff member with relevant experience and competence, and a

possibly related difficulty in involving two-year institutional administrators in Commission activities. Since that time a staff member with two-year college experience has been added and operating contacts between the Commission and the two-year institutions have increased, the latter immeasurably aided by the cooperative attitude of Dr. Wayne Teague, State Superintendent of Education. Since all public two-year institutions in Alabama are governed by the State Board of Education, the State Superintendent serves as their Chief Executive Officer. Thus, to a certain extent, things have improved.

However, notwithstanding such marginal improvements, serious problems still remain. Partly these lie in the continued reputation of the Commission as more concerned with four-year institutions; partly they are related to the unwillingness of some two-year institution presidents to participate meaningfully in Commission processes; partly they stem from temporary confusion about Commission/State Board of Education staff roles in program review. Because these matters require more detailed treatment, they are elaborated on in Appendix G.

Commission contacts with private higher education in Alabama have increased since 1975 as several Commission-administered state programs now offer state financial aids to students attending private universities and colleges. Private sector spokesmen were basically supportive of the Commission role, with only minor technical criticisms concerning legal definitions of state residence.

In summary then, the Evaluation Committee found that the Commission

had, within the very real limits of its existing powers, justified its existence through its performance in a wide variety of activities. However, the Evaluation Committee also found a backlog of problems accumulated through the Commission's lack of powers or because of its preoccupation with the various smaller tasks assigned to it. These problems threaten both the future effectiveness of an unchanged Commission and the future wellbeing of Alabama higher education. Section III offers recommendations to allow a strengthened Commission to attack these problems.

SECTION III

"TO RECOMMEND CHANGES AS NEEDED"

A. PROBLEMS TO BE DEALT WITH

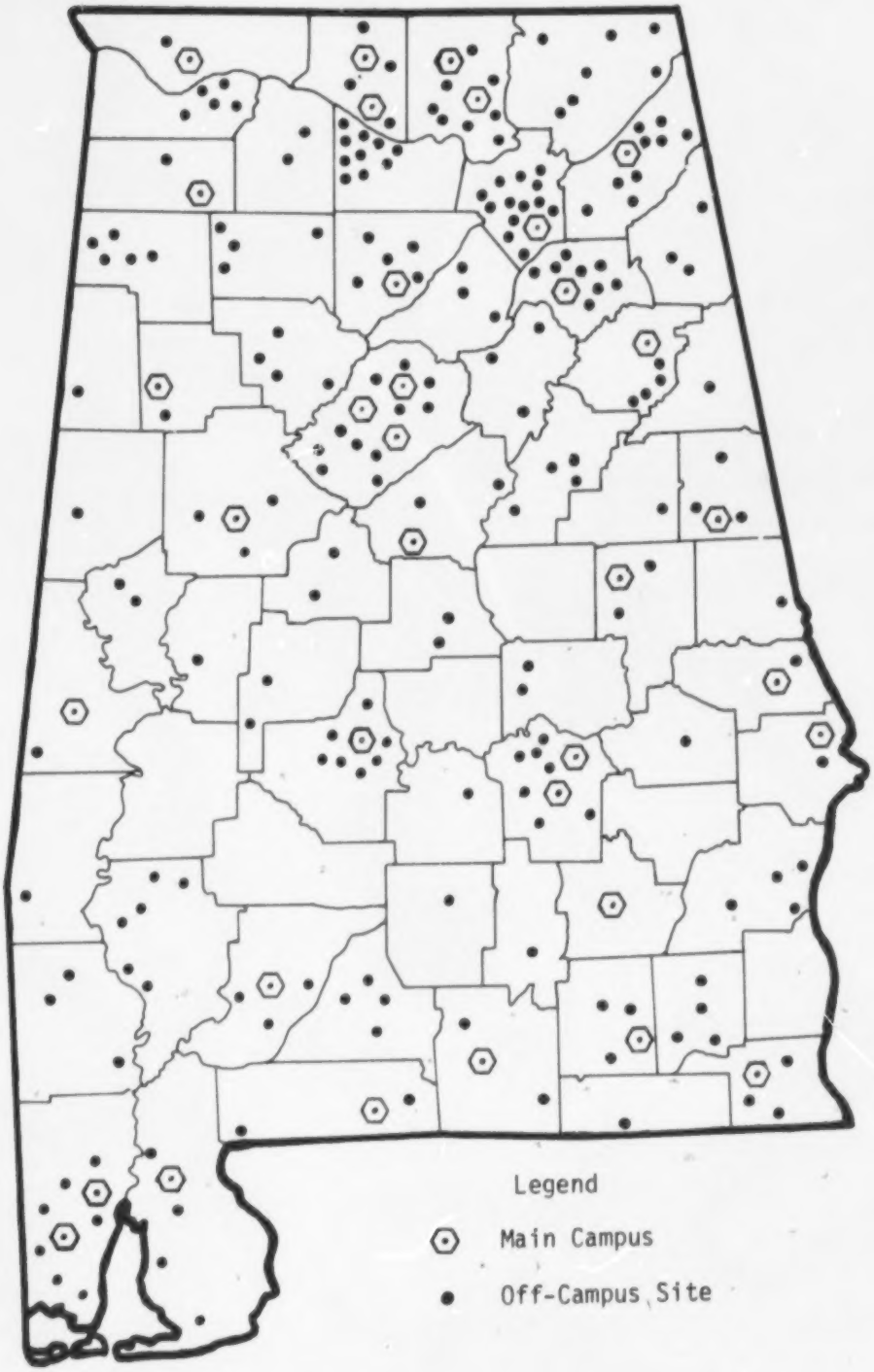
This Committee was neither charged with, nor staffed to handle, an in-depth analysis of the important problems identified below. But the prominence and urgency of the problems revealed during the evaluation constitute such an important basis for the recommendations to follow that they merit more than a casual effort at identification. In their absence, the Evaluation Committee might have judged the present weak Commission capable of "muddling through". In their presence, the Evaluation Committee felt constrained to recommend fairly sweeping "changes as needed".

Quality and Cost Effectiveness

In any good system of higher education, there is a balance to be struck among four major elements: access, diversity, quality and costs. In Alabama the state has already gone so far in the direction of access and diversity that serious problems relating to quality and unit costs are waiting to be tackled by a statewide board with real powers.

The following map reveals the extent to which two and four-year institutions of great diversity have proliferated across Alabama, particularly when off-campus centers are also taken into consideration. Presently citizens can enroll in college level courses of one kind or another in all but six of the 67 counties in the state.

ALABAMA PUBLIC INSTITUTIONS OF HIGHER EDUCATION:
MAIN CAMPUS AND OFF-CAMPUS SITES



To the extent that this "education taken to the consumer" is both of high quality and cost effective, the people of Alabama are the winners. But if some of the institutions are too small to be efficient in terms of unit costs, if some of the programs are of shoddy academic worth, or if some of the persons enrolled off-campus have drained off enrollments badly needed at other campuses to sustain quality and cost effectiveness there, then access and diversity have been purchased at too high a price.

It is not a job for this Evaluation Committee to estimate the proper balance for Alabama to strike among these elements; it is however, appropriate that we call attention to the urgency of the task.

One witness appearing before the Committee testified, "Higher education in Alabama has run amok". The only answer he could see was to install a "rational dictator". Remedies far short of creating a rational dictatorship are recommended by this Committee. These relate both to Commission program approval powers, to the need to embark on careful studies of academic quality and unit costs across the various levels of postsecondary education, and to link such studies to considerations of access and diversity.

Demographic Decline and More Limited Resources

If Alabama is already in danger of having spread its postsecondary education resources too thinly, the problem will become even more acute if either or both of two developments occur. The most certain of the two is that of decline in the number of high school graduates ranging

up to 30% by 1990. The following chart indicates the drop-off in live births from 1950 to 1976.

STATE OF ALABAMA

RESIDENT LIVE BIRTHS 1950-1977[1]
HIGH SCHOOL GRADUATES 18 YEARS LATER[2]

YEAR	RESIDENT LIVE BIRTHS	HIGH SCHOOL GRADUATES 18 YEARS LATER
1950	82,566	45,489 (67-68)
1951	83,878	45,940
1952	82,876	46,494
1953	82,525	46,625
1954	82,518	47,323 (71-72)
1955	81,867	47,691
1956	84,026	48,429
1957	83,991	50,247 (74-75)
1958	82,228	50,037
1959	82,364	50,386 (76-77)
1960	80,955	
1961	80,732	
1962	78,639	
1963	76,027	46,500-48,800 (80-81)
1964	76,480	
1965	70,589	
1966	66,455	
1967	64,652	
1968	63,583	39,900-43,100 (85-86)
1969	64,705	
1970	67,570	
1971	66,750	
1972	61,765	
1973	59,442	36,400-42,500 (90-91)
1974	59,342	
1975	57,922	
1976	57,895	
1977	61,927	

1 Resident live births are those classified as to the usual place of residence of the mother without regard to the geographical place where the event occurred. Includes events to Alabama's residents occurring outside of the boundaries of the State of Alabama. Live births do not include fetal deaths.

2 These are highly preliminary figures and do not represent the type of study required for a final planning document. The trend, however, is unmistakable and the percentage decline we postulate for Alabama is less than the national average.

Sources: A Quarter Century of Vital Events and Alabama's Vital Events for 1977 (in preparation). State of Alabama: Division of Vital Statistics, Department of Public Health. Annual Report: Statistical and Financial Data (1967-1976). State Department of Education, Montgomery, Alabama.

While other factors such as varying rates of college attendance, changes in tuition levels and student financial aid, and in and out-of-state migrations affect the college enrollment figures, some decline at many institutions seems inevitable. Even closing an institution might be at issue here or there. Since Alabama colleges and universities are, like their counterparts in most other states, vitally dependent on student enrollments to build their justifications for state appropriations, there may be an escalation of frenzied institutional efforts through both on and off-campus educational offerings to attract enrollments from this shrinking student population. While healthy competition is to be welcomed, experiences in other states demonstrate that a stronger statewide coordinating role must be exercised if the worst aspects of "dog-eat-dog" rivalries and consumer frauds are to be avoided.

More limited fiscal resources may or may not become a permanent feature in Alabama, but already there are signs that the rate of growth in the Alabama State Educational Trust Fund (SETF) is slowing down. The SETF is that earmarked portion of the state income which goes to finance all educational expenditures, including those of higher

education. There is currently, for example, a danger of deficit spending in the SETF which has forced a 6% cutback. To the extent that the large increases in funding of the recent past no longer will continue, the institutions will feel that one college's gain can come only at another's loss. This atmosphere, when combined with possible shrinking enrollments, could bring out the worst behavior in even those "citadels of reason", colleges and universities. The Evaluation Committee subsequently recommends ways in which the Commission can better play a leadership role during such difficult periods, including a major overhaul of its budget formulas to help the institutions cope with their coming problems.

Federal Government Regulations

Alabama, like all other states, must deal with possible intervention from various agencies of the federal government relating to issues such as equal opportunities for women, blacks and handicapped. It is clear that some agency or office must have a clear leadership role in helping the state to formulate and implement consistent and coherent responses. The Alabama Commission, whether or not it is assigned this leadership role, must be deeply involved in the relevant deliberations and should ensure that any short term state responses are consistent with, and reinforced by, long-range planning.

Problems Concerning Governance of Two-Year Institutions

Alabama has 43 public two-year colleges. Only California,

Texas, and North Carolina have more two-year institutions! However, California's 96 public two-year colleges serve a general population of over 19,000,000 while the 59 two-year colleges in Texas exist for over 11,000,000 and 57 two-year institutions serve North Carolina's general population of over 5,000,000. In sharp contrast to those three states, Alabama's two-year institutions serve a general population of approximately 3,000,000 according to the 1970 census. In fact, Alabama would rank first in the nation in the ratio of existent public two-year colleges to the general population base (data derived from 1970 census and 1978 AACJC National Directory). Unlike most other states, Alabama supports three different types of two-year institutions including 22 technical colleges, 15 junior colleges, and six community colleges.

Technical Colleges: Alabama's technical colleges, like those in other states, are rooted in the vocational education movement initiated by national policy of 1917 known as the The Smith-Hughes Act. That landmark legislation deliberately created a separate governance and administrative structure for vocational education at the federal, state and local levels. In nearly every state, governance of vocational/occupational programs funded with federal programs was assigned to the State Board of Education since the original focus of The Smith-Hughes Act was the high school level. It is understandable, therefore, that the technical colleges in Alabama which evolved from the national vocational/technical education movement have been under the jurisdiction of the Alabama State Board of Education. Furthermore, there is a natural

inclination existent for these institutions to be under and to respond to the State Board of Education governance system.

Junior Colleges: Alabama's Junior Colleges are the result of deliberate establishment and not the evolutionary process from which the Technical Colleges emerged. When the Alabama legislature authorized creation of junior colleges, governance of the institutions was placed under the State Board of Education by choice. There is little evidence that there was any major reason for this decision other than the apparent ease of assigning the newly created two-year colleges to a state-level board that was already governing all the teachers' colleges.

The natural inclination of the junior colleges in Alabama, as well as throughout the nation, was to emulate the baccalaureate college model of a separate governance or policy board at the institutional level (consistent with the concept of institutional autonomy). Some of the testimony presented to the Evaluation Committee favored the junior colleges of Alabama being removed from the control of the State Board and given local governing boards instead. Yet other testimony called for the separation from the State Board but with a newly created state-level governing board for all junior colleges in Alabama. In many ways, the academic mission of junior colleges places them more in the higher education arena than that of school districts or basic education even though they do offer limited occupational and technical education programs.

Community Colleges: The third type of two-year college follows

the national community college model. This type combines the vocational/technical programs of the Technical College Model with the academic programs of the Junior College Model. Furthermore, during the present decade the national community college model has assumed a community services/continuing education function as one of its major responsibilities. The Evaluation Committee noted that not only Alabama's community colleges but most of its junior colleges have begun to embrace this same concept.

The abundance of two-year colleges in Alabama for its comparatively small population base has resulted in many of the institutions being quite small. Therefore, some witnesses called for administrative consolidation or merger of two or more institutions which could result in administrative cost savings and some witnesses even predicted that better comprehensive educational programs would accrue.

It is not within the purview of the legislative charge to this Committee to determine what changes, if any, are needed in the patterns of governance for Alabama's two-year institutions, nor is it for the Evaluation Committee to try to determine whether administrative reorganization is appropriate in any particular case. But the recommendations to follow include one to create a Task Force to study this governance question quickly and in depth. Furthermore, such a study should be linked to the broader charge for developing a state plan for the 1980's so that decisions on two-year institution issues will be linked to the overall development of higher education in Alabama.

B. RECOMMENDED ACTIONS

The recommendations in this Section are based on two major sources:

1. The Evaluation Committee's judgment as to which weaknesses uncovered in its evaluation of Commission's past performance (Section II) were both corrigible and serious enough to justify a recommendation; and

2. The Evaluation Committee's best estimate of the implications of present and emerging problems for the kind of statewide coordinating board that Alabama will need to meet those problems (Section III, Part A).

Revised Priorities in Commission Functions

Section II dealt with the tragic loss of momentum in Alabama planning for higher education since 1975, and examined some of the reasons for this state of affairs. In the judgment of this Evaluation Committee, the first priority of the Commission should be to make planning its key function, no matter what the language of its enabling legislation or the other demands on its time. But to make explicit what is implicit in the preamble to Act No. 14 and to properly dramatize deep concern for this issue, this Committee recommends a legislative amendment that:

1. *Long-range planning should be made the first charge to the Commission by adding at the appropriate place to Act No. 14: "The Commission shall undertake continuous study, analyses, evaluation, reporting and recommendations for long-range planning with established priorities on a statewide basis."*

Need for Immediate Comprehensive State Planning

The Commission does not need to wait for a revision in its legal charge to undertake planning. This is a vital coordinating board function in even the best of times, but, as the Southern Regional Education Board points out, it is indispensable when conditions become more difficult:

> improved. . . state planning is dependent upon the changing nature of the decisions that must be made. Instead of the cooperative, agreeable choices that might be made in periods of growth and expansion, the focal concerns of state planning have shifted to the difficult, unpleasant decisions of contraction, balance, or retrenchment. Such decisions require that. . . public resources be reallocated in keeping with societal and educational objectives that are chosen explicitly. (Priorities for Postsecondary Education in the South, Southern Regional Education Board, 1977)

To regain lost planning momentum and to help the Commission address important problems such as governance of two-year colleges, not as isolated issues but as parts of a coherent long-range plan, this Evaluation Committee recommends that:

> 2. *The Alabama Commission should undertake immediately a crash program to develop an Alabama Plan for Higher Education in the 1980's.*

Among other components, such a plan would ideally include careful analysis of the following interrelated topics:

a. Goals for the 1980's, including the desired balance between traditional and non-traditional programs.

b. Enrollment projections into the 1980's, including consideration of admission standards, tuition fees, student financial aids

and articulation agreements between and among two-year and four-year institutions.

c. Allocation of specific institutional role and scope mismision statements, taking into consideration existing institutional plans; and establishment of criteria for approving branch campus.

d. Dimensions of academic quality and unit costs, linked to broader considerations of access and diversity.

e. Financing higher education, including institutional tuition fees, for both in-state and out-of-state students, and establishing a serviceable formula budget system.

f. Financing state capital and renovation needs in higher education, including refining and completing existing efforts to measure and estimate institutional space utilization.

g. Overall coordination and governance issues, including: (i) a special study of the two-year institutions with respect both to possible mergers or consolidations and broader issues of general governance; and (ii) the further refinement of criteria for approving new and existing programs, both on and off campus.

h. Special problems, such as (i) a coherent long-range plan to deal with H.E.W. interventions on the dual system and other issues, (ii) appropriate future patterns of state relations with private higher education in Alabama, (iii) medical education, (iv) inter-institutional cooperation in use of

libraries and computers, etc.; (v) licensing and accreditation of all institutions, public, private and proprietary, in-state and out-of-state.

i. Continued development of a comprehensive information system to produce relevant and accurate data to serve the above functions.

j. A careful assignment of responsibilities for implementing the recommendations and for monitoring the degree of implementation.

The Evaluation Committee recognizes that a planning effort of this magnitude and intensity could not be accomplished in the immediate future by the Commission with its existing staff and resources. But even at a time of state budgetary restraint, the Evaluation Committee urges the wisdom of an additional expenditure on planning. Without such an effort it will cost the state far more in the long run to permit the continuation of unfettered competition. One way to quickly gain momentum in planning without adding permanently to Commission staff and budget would be through the use of professional planning consultants for a limited period of time. During this time Commission staff could work intensively with advisory networks recommended below so that a continuous and participatory planning process would be in place by the time the work of the consultants is complete.

Revision in the Commission's Powers of Program Review

A good state plan in higher education is no better than its

implementation; a state coordinating board ought to be able to use real powers of program approval to monitor the agreed-upon institutional role and scope missions. In Alabama, however, the 1968 Education Study Committee which urged the creation of the Commission recommended giving it only advisory powers in this area even though experts at the Southern Regional Education Board and the Southern Association both warned the Committee that the proposed board was going to be too weak to be effective.

It is not unusual for a state establishing a statutory coordinating board for the first time to do so gently, as it were, out of consideration for institutional and political reluctance to see real powers invested in the agency. But in state after state around the country (e.g., Virginia, Maryland, Kentucky, Texas) the trend has been to strengthen advisory coordinating boards, usually in the area of their program review functions.

The patience of the many institutional leaders who have complied voluntarily with Commission recommendations over the years is beginning to wear thin. This Evaluation Committee heard distinct testimony about the competitive pressures on institutions to adopt new programs according to their internal needs and priorities, regardless of the Commission's advisory interpretation of the so-called public interest.

Since, as mentioned above, demographic and financial pressures can but make these matters worse, this Evaluation Committee recommends

that:

> 3. *The legislature should, by appropriate language, authorize the Commission to have power to approve or disapprove all new units of instruction, research or public service, subject always to a legislative override by explicit separate act, and to evaluate and, if found necessary, recommend termination or consolidation of existing units.*

Related to this general area is the issue of possible Commission program review jurisdiction over private, in-state institutions. The Evaluation Committee heard testimony from persons in Alabama private higher education that most such institutions would have few problems voluntarily submitting their new programs for Commission scrutiny in return for its consideration of private sector interests in approving new programs for the public institutions.

Improvement of Commission Budget Review Procedures

The formula presently in use was adopted several years ago from one devised in another state. It has not been validated by data from Alabama institutions and year by year adjustments may or may not reflect Alabama experience. The formula is attacked as inadequate and inequitable. Whether this is the case or not, only a review based on sound data and with the participation of representatives from all categories of institutions can develop the soundness and credibility needed for good judgments persuasive to the institutions, the governor and the legislature.

The first formula revision will require very substantial effort and time from all participants. Year by year review and refinements afterwards based on continuing data and experience should require less

time and will increase confidence in the formula.

Another problem relates to the fact that at present the executive budget office receives recommendations from the Commission late in the process of budget preparation. To be most useful, the Commission should collect all institutional requests, prepare its analysis and recommendations for the state appropriation, and transmit both its recommendations and the institutional requests to the executive budget office at a date early enough to assist the executive.

A third problem concerns the need to bring more rationality to the perennially political process of capital outlay allocations. Several legislators who testified to this Evaluation Committee urged that the Commission now play a stronger role in assessing institutional space and renovation needs and in recommending statewide priorities in these areas.

The Evaluation Committee therefore recommends that:

4. *The Commission should improve its procedures and funding formulas for review of institutional budgets. Close attention should be given to formula revisions, budget calendar reconsideration, and the establishment of a process to deal with capital and renovation needs.*

A Major Overhaul of the Commission

Implementing the recommendations about long-range planning, program approval and budget review will carry Alabama further along the road to successful coordination. But to accomplish these tasks with any degree of effectiveness, a major overhaul of the existing Commission--

its membership, its staffing and its advisory networks-- will be necessary.

Commission Membership: It cannot be easy for the Governor to find large numbers of citizens who combine both the requisite backgrounds of ability to understand the complex issues in higher education and a willingness to put in the hours of necessary service.

The recommendations from this Evaluation Committee will both worsen and improve this situation: it will become more difficult because substantial new Commission functions and powers are proposed with a concomitant heavier meeting and work schedule for the Commission; it should become somewhat more bearable because the Commission would be enlarged and could then break down its tasks into working committees. A larger Commission is proposed not only to share the heavier workload but also in the interests of getting more diverse backgrounds on the board. Already there is a broader membership when the Commission is augmented by seven other persons to satisfy the federal requirements for equitable representation for all elements of postsecondary education on state 1202 commissions. These agencies are charged by the Higher Education Amendments Act of 1972 with promoting comprehensive postsecondary education statewide planning. But the additional 1202 members now normally attend only on those limited occasions when 1202 business is on the Commission agenda.

To anticipate a problem related to the proposed increased workload of Higher Education Commission membership, a shortening of the present nine-year term of office could increase the probability of

acceptance of nomination by busy citizens, and it would certainly allow an earlier retirement of non-active members.

The Evaluation Committee therefore recommends that:

> 5. *The membership of the Alabama Commission should be enlarged from nine to fifteen members, with eight chosen from old Congressional districts as at present and seven appointed at-large. The enlarged Board should act also as the state 1202 Commission without further augmentation. Terms should be for five years, with three members appointed each year, and reappointment possible.*

While more diverse membership will aid the quality of Commission deliberations, the intensity of citizen participation also needs to be improved through more frequent Commission meetings and through the use of working committees functioning between formal Commission meetings.

The 1975 Evaluation Committee recommended at least ten regular public meetings per year, observing:

> "the current infrequency of Commission meetings has made it difficult for members to involve themselves fully in the discussion and analysis of problems. The workload of the Commission requires more meetings. Additional meetings would also provide an opportunity for Commission members and institutional representatives to understand each other better."

However, there were subsequently only eight Commission meetings in 1975, seven in 1976, five in 1977 and six in 1978. At only one of these 26 meetings were all nine members in attendance, and the average attendance has been between six and seven members. Even if members attend, however, they must also be presented with an agenda for which they have had adequate prior preparation. At the Commission meeting

which this Evaluation Committee observed, institutional objections and counter-proposals were being presented at the meeting to approve the unified budget for the state system and it became obvious that many such complicated arguments should have been presented to a Budget Committee of the Commission holding lengthy sessions prior to the formal Commission meeting. Presumably other Commission functions such as program review and capital outlay deliberations could also profit from working committees. The Evaluation Committee therefore recommends that:

> 6. *The Commission should hold more frequent meetings per year, and should appoint working committees in areas of its major functions.*

Having thus proposed changes increasing the powers and importance of the Commission and the demands of being a member, more care than ever is needed in appointing new members. The Evaluation Committee, therefore, recommends that:

> 7. *The Governor in appointing and the Senate in confirming Commission members should consider not only their potential for sound judgments on university and college issues, but also their willingness to participate fully in the heavier workload here proposed. Members missing more than three meetings a year should be dropped. No state legislators should be appointed during their terms of office.*

Commission Staff: If Commission powers and functions are enlarged and Commission members increased in number and made more active, it will also be necessary to strengthen the Commission staff. Both the 1958 and 1968 Education Study Commissions urged top quality leadership for the state boards they proposed. For example, the 1968 Report urged:

"The Commission should be authorized to appoint its executive officer who should have the qualifications, professional stature and salary comparable to presidents of major institutions in the State." It also proposed an annual budget of from $300,000 to $500,000 (in 1968 dollars) to employ adequate staff and meet operating expenses.

Ten years later the Commission is just beginning to reach that level of funding in inflated dollars, and salary levels of senior staff are not competitive with their counterpart administrators at "the major institutions in the State". The Alabama Commission has been fortunate to have obtained the services of its two Executive Directors, Dr. Clanton Williams and Dr. John Porter. Given the lack of legislative authority, the budget cuts and bills to abolish the Commission, Alabama has enjoyed a quality of leadership and of Commission staff far beyond what might have been expected. Certainly counterpart positions with higher pay on university and college campuses must seem very tempting to the staff. While these facts may explain the absence of Commission staff with years of high level administrative experience in universities and colleges, they should not be allowed to continue. Given the increased responsibilities proposed for the Commission, the Evaluation Committee recommends that:

8. *The Commission should be funded at a level which will permit it to be able to attract and retain as staff highly experienced administrators from universities and colleges.*

Commission Advisory Networks: Another important part of the total

package of strengthened powers, more diverse and more active members, and staffing more experienced in senior administration is the need for revitalized advisory networks. Even if some senior staff are acquired with great experience in university or college administration, such persons cannot be expected to know equally well the full rich range of institutions in Alabama.

The early Commission under Dr. Williams had little staff and no prior experience, so perforce relied heavily on a whole host of advisory mechanisms. While Planning Document Number One (1975) incorporated some of the fruits of this early advice, most of these councils were later to fall into disuse. Partly this stemmed from the earlier-described forced staff reductions--there just were not enough staff to maintain liaison with all the committees; partly it may have resulted from general pressures from the Governor during this period for all state agencies to cut back on inactive government committees; and partly it may have resulted from staff feelings, conscious or otherwise, that with increasing experience, they would be a little less in need of advice from the institutions.

The Evaluation Committee heard some testimony that existing advisory mechanisms were not all being well used, but it also discovered that sometimes the institutional representatives do not attend in sufficient quantities to constitute a quorum. On occasion this has resulted in an institution complaining that it is not being treated fairly on a given issue when in fact its representatives had failed to attend earlier meetings at which other institutions had received

exactly the same treatment.

The existing advisory relationships lead to an unhealthy chain of events: the Commission's lack of significant powers may cause some institutions to participate in advisory networks, if at all, only when their direct self-interest is at play. This is turn tends, through time, to turn the Commission-institutional relationships into a series of bilateral adversary encounters, and there is little development of a successful group pressure for cooperation among university and college administrators.

Notwithstanding such a pessimistic appraisal of the present state of advisory networks, their role in successful statewide coordination is too crucial to leave them as they are. This will be especially true if the planning process recommended in this report gets underway. To aid the Commission and any outside consultants to put together a meaningful and realistic plan, it will be vital to create technical task forces on many subjects, drawn from wide constituencies across the universities and colleges. Furthermore, the probability of plan implementation later is much greater if important groups from the institutions have been intimately involved in the process.

On a more positive note it can be anticipated that if the Commission acquires more power and strengthened staff, its credibility with the public should grow and the motivation for improved institutional participation should increase.

The Evaluation Committee recommends that:

9. *Even if otherwise hard-pressed, Commission staff should not allow increased responsibilities and pressures to divert them from making the efforts necessary to revitalize effective advisory network channels with all the institutions in the state, public and private. Trustees, faculty and students from the institutions should be involved where feasible.*

Relations with State Government

Statewide coordinating boards, as explained earlier, are agencies "in the middle" and as such can easily be criticized for being either too strong an institutional advocate or too much an arm of the state, depending on both the facts and the perspectives of the critic.

In the case of the Alabama Commission, this Evaluation Committee judges that paradoxically, movement in both directions may be justified. On the one hand, if program approval powers are granted to the Commission, it can be seen as a more effective arm of the state in protecting the public interest against unjustified institutional expansion. But by the same token, it could use this strengthened reputation as a public defender to work more forcefully and effectively with the governmental side in support of its own recommendations and plans. The Evaluation Committee, therefore, recommends that:

10. *The Commission should establish as a high priority the improvement of its communications with the Executive Office, the legislative and state agencies.*

The Evaluation Committee is pleased to record the present harmony and mutual support between the Alabama Commission on Higher Education and the Alabama Education Study Commission. But there is a potential

jurisdictional overlap in their respective enabling laws which might merit legislative attention. (See Acts Nos. 14 and 15 respectively of the 1969 state legislature found in Appendices A and B.)

A General Plea for Support

Crucial questions relating to the very survival of effective statewide coordination in Alabama are now at issue. There will be a normal temptation for universities and colleges publicly to support a strengthened statewide board but privately to want to keep it in its present weak form. The Evaluation Committee judges this to be now playing with fire. If the Commission continues as it is for very much longer, a strong state backlash could occur to its inability to confront the serious problems outlined in this Section. This backlash could possibly cause the state to overreact and impose a single, centralized governing board over all state institutions. A very few voices, looking to models of this type in Florida, Georgia, North Carolina or Mississippi, might welcome this as bringing accountability to its logical maximum. But this Evaluation Committee unanimously joins its 1975 predecessor body in rejecting this as a feasible or desirable choice for Alabama. State accountability patterns must allow continuing institutional identity and autonomy. This is needed not so much to please the faculty working at them as to allow the institutions the flexibility necessary to serve society better.

Although some vast consolidated state systems of higher education have, over time, achieved impressive degrees of decentralization, the

dangers are always greater--particularly in newly-created central systems--that a great deal of institutional identity will be lost. Furthermore, most such systems have quite inferior records in statewide planning, a central concern of this Evaluation Committee. They also present greater problems in relating equitably to private institutions in the state since the consolidated boards are likely to be more protective of the state institutions they directly govern--even when the broader public interest might call for more disinterested judgments. It is for all these reasons that the Evaluation Committee far prefers a strengthened Alabama Commission.

Conclusion

In this era of a "New Beginning" Alabama must make a clear decision and a clear commitment with regard to coordination of higher education: a decision as to the kind and quality of statewide coordination it proposes to have, and a commitment to provide the legal, financial and political support necessary to implement that decision.

Once this is done, a heavy responsibility will rest with the institutions to make a less centralized system really work. The universities and colleges must go beyond mere rhetorical support of state coordination and pay the considerable price for meaningful participation in Commission deliberations.

Finally, the people of Alabama must support those political and educational leaders who are ready to help a reformed system to "provide the highest possible quality of collegiate and university education to all persons in the State able and willing to profit from it". The vision is worthy; the means are at hand.

APPENDIX A

ALABAMA LAW

(Special Session, 1969)

Act No. 14

H. 5 - Merrill, Cook (Jefferson), Holladay, Drake, Pennington, Hill, Snell, Manley, Fite, McDonald, House, Cook (Coffee), McCorquodale, Mathews, Young, Smith, Lemley, Agee, Hain, McElhaney, Marr, Grayson, Neville, Hobbie, Melton, Laxson, Culver, Williams, Bank, Starnes, Turnham, Ellis, Gloor, Lybrand.

AN ACT

To establish the Alabama Commission of Higher Education for the general purpose of promoting an educational system that will provide the highest possible quality of collegiate and university education to all persons in the State able and willing to profit from it; to provide through the Commission for continuous study, analyses, evaluation, planning, reporting and recommendations for long-range planning with established priorities on a state-wide basis to assure a sound, vigorous, progressive and co-ordinated system of higher education for this State.

Be It Enacted by the Legislature of Alabama:

Section 1. Definitions.

The following terms shall have the meanings respectively prescribed for them, except when the context otherwise requires:

(a) "Public Institutions of Higher Education" shall mean those public educational institutions in Alabama which have been authorized by the Legislature to provide formal education above the secondary school level.

(b) "Commission": The Alabama Commission of Higher Education created by this Act.

Section 2. Membership.

The Commission shall consist of nine members appointed by the Governor by and with the advice and consent of the Senate. One person shall be appointed from each United States Congressional District in Alabama, and shall reside or maintain an office or place of business within the Congressional District from which he is appointed, and one person shall be appointed from the State at large.

The nine members shall be citizens of the State and shall be selected, as far as may be practicable, on the basis of their interest in problems of higher education. Appointees shall be selected without regard to political affiliation and appointments shall be of a nature as to aid the work of the Commission and to inspire the highest degree of co-operation and confidence. No member of the Commission shall be on the governing boards, be employed by or directly connected with any institution of higher education in the State; the State Department of Education; or any County or other local Board of Education. No member of the Commission shall serve past June 30th following his 70th birthday. All members of the Commission shall be deemed members at large charged with the responsibility of serving the best interest of the entire system of higher education in the State. No member shall act as the representative of any particular region or of any particular institution of higher education.

The Commission shall serve in an advisory capacity to the Legislature and the Governor of this State in respect to all matters pertaining to state funds for the operation and the allocation of funds for capital improvements of state supported institutions of higher education. The initial membership of the Commission and the term of each initial member is as follows:

Section 3. Tenure--Vacancies.

(a) Members of the Commission shall be selected for 9-year terms expiring on August 31 of the respective year. Of the initial appointees, however, the term of one member shall expire at the end of each year from the first through the ninth year. The respective terms of the members initially appointed shall be determined by the Governor at the time of making the appointment of each member.

(b) The members of the Commission shall continue to serve after the expiration of their terms until their successors have been appointed and approved by the Senate. In the event that the number of Congressional Districts shall change, incumbents on the Commission shall complete their terms as members of the Commission. In the event the number of Congressional Districts is increased, the membership of the Commission shall increase so that there will be one member from each Congressional District and one member at large. If the number of Congressional Districts shall decrease, the membership will remain at nine with the number of at-large memberships increasing with each decrease in Congressional Districts. If the Senate is not in session or is in recess when the term of a member expires, the Governor shall make a temporary appointment of a succeeding member who shall serve subject to subsequent approval of the appointment.

(c) Vacancies on the Commission and offices appointed by the Governor shall be filled by appointment by the Governor for the unexpired term. If the appointment is subject to Senate confirmation and the Senate is not in session or is in recess when the appointment is made, the appointee shall serve subject to subsequent Senate approval of the appointment.

(d) Any person who serves for five or more years as a member of the Commission shall not be eligible for reappointment to succeed himself.

Section 4. Organization and Meetings.

The first meeting of the Commission shall be called by the Governor who shall preside until a chairman is selected. The Commission shall elect annually from its own members a chairman and such other officers as it may deem desirable and shall adopt rules for its organization in the conduct of its business.

The Commission shall hold regular meetings at such times as are specified in its rules, Special or additional meetings may be held on call of the Chairman, or upon a call signed by at least six members, or upon call of the Governor. The Commission is encouraged to meet as often as seems desirable on the campuses of institutions of higher education in the State. The Commission shall meet at least twice during each calendar year. A majority of the members of the Commission shall constitute a quorum at all its meetings, but the recommendation of a new unit of instruction, research, or public service or a new public institution of higher education, as provided in Section 6, shall require the concurrence of a majority of all the members of the Commission. An agenda for the meetings in sufficient detail to indicate the terms on which final action is contemplated shall be mailed to the chairman of each governing board and to the chief administrative

officer of each public institution of higher education at least thirty (30) days prior to the meeting.

Members of the Commission shall serve without compensation but shall be reimbursed for actual expenses incurred in the performance of their duties.

The Commission is authorized to appoint a highly qualified person as its Executive Officer who shall, with the consent and approval of the Commission, select and supervise the Commission's staff and perform such other duties as may be delegated to him by the Commission, within the amounts made available for the Commission's operation.

The Executive Officer shall, with the consent and approval of the Commission, employ such professional and clerical staff and other assistants, including specialists and consultants, upon a full or part-time basis as are necessary to assist the Commission and the Executive Officer in performing the duties assigned by this Act. The number of employees, their compensation, and the other expenditures of the Commission shall be within the limits and in compliance with the appropriation made therefor by the Legislature and within budgets that shall be approved from time to time by the Commission.

All full-time professional and administrative staff personnel of the Commission shall be eligible to participate in the state teacher's retirement system.

Section 5. State University and College Information System.

The Commission, after affording a full opportunity to the public institutions of higher education to be heard, shall design and establish a State University and College Information System to provide comprehensive, meaningful, and timely information pertinent to the formulation of decisions and recommendations by the Commission. The information submitted by the public institutions of higher education shall be in comparable terms and the reports developed through the system shall conform to the procedures established by the Commission.

The Commission shall use advisory committees to study methods and proposals for coordinating efforts of all such institutions in providing a stimulating and enriched educational environment for the citizens of this State and such other advisory committees as the Commission may deem desirable.

Section 6. Coordination of Programs in Instruction, Research, or Public Service.

The Commission of Higher Education is authorized to review peri-

odically all existing programs of instruction, research, and public service funded by state appropriations at the State Universities and colleges and to share with the appropriate governing board, through the president of the institution, its recommendations.

The Commission shall seek through the use of advisory committees to study needless duplication of education, research or service programs, and programs which are not adequately provided in the state, and shall make findings and recommendations to the institutions that would strengthen the total program of higher education in the state.

The governing boards of public institutions of higher education in this State and the campuses under their governance or supervision shall not hereafter undertake the establishment of any new unit of instruction, research, or public service with state funds before submitting plans for the new unit to the Commission. The term "new unit of instruction, research or public service" includes the establishment of a college, school, division or institute, and includes the establishment of any new branch or campus. The term does not include reasonable extensions or alterations of existing curricula, research, or public service programs which have a direct relationship to existing programs; and the Commission may, under its rule-making power, define the character of such reasonable extensions and alterations.

Although its purpose is not one of control, the Commission may express any negative judgments on new units in reports made directly to the institutions and in its analysis of and comments upon the legislative budget requests.

Section 7. Budget Proposals and Recommendations.

The governing boards of the public institutions of higher education shall submit to the Commission through their appropriate administrative officers, not later than ninety days prior to each legislative session, its budget proposals for the operation and capital needs of the institution under its governance or supervision. The Commission shall receive, evaluate and coordinate budget requests for the public institutions of higher education of this State, shall hold open hearings on the budget requests of the separate institutions and shall present to each institution and to the Legislature, a single unified budget report containing budget recommendations for separate appropriations to each of the institutions. The consolidated budget and analysis of the Commission shall be accompanied by the original requests and their justifications as submitted by each institution. The recommendations of the Commission may be based upon standard techniques of objective measurement, need and unit cost figures arrived at through the use of comparative and verified data secured from the various

institutions, applied in an impartial and objective manner, and comparison shall be made not only between similar functions of institutions in Alabama but also between Alabama institutions and similar functions of institutions located in other states, provided that nothing herein shall be construed to prohibit any institution of higher education in this State from submitting any matter pertaining to the financial operation and needs of said institution to the Legislature or to the Governor at any time.

Section 8. Powers and Duties of the Commission.

The Commission shall exercise the following powers and duties in addition to those otherwise specified in this Act.

(a) To cause to be made such surveys and evaluations of higher education as is believed necessary for the purpose of providing appropriate information to carry out its powers and duties.

(b) To recommend to the Legislature of Alabama the enactment of such legislation as it deems necessary or desirable to insure the highest quality of higher education in this State taking into consideration the orderly growth and overall development of the State system of public higher education to meet trends in population and the change in social and technical requirements of the economy.

(c) To advise and counsel the Governor, at his request, regarding any area of, or matter pertaining to higher education.

(d) To establish definitions of a junior college, a senior college, a university and university system; provided, that nothing herein shall be construed as authorizing the Commission to establish or create any university system, nor to alter any university system presently existing.

(e) To develop and publish criteria which may be used by the Legislature as a basis (i) for changing the classification of any public institution of higher education and (ii) for determining the need for new public junior colleges, public senior colleges, universities or university systems. Any proposed statute which would establish an additional institution of higher education may be submitted, either prior to introduction or by the standing committee considering same to the Commission for its opinion as to the need of the State therefor, and the Commission shall report its findings to the Governor and the Legislature.

(f) To cause studies to be made for the purpose of classifying and prescribing the role and scope for each public institution of higher education in Alabama and to recommend such changes in classi-

fication or role and scope for such institutions as it deems necessary and which may be agreed to by the governing board of the said institution.

(g) To hear applications from the institutions for changes in classification or role and scope and to recommend to the Legislature for clarification such classifications in role or scope which may not be agreed to by the governing board of any institution.

(h) To make continuing studies, on its own initiative or upon the request of the Governor or the Legislature, of the financial needs of public higher education and issue such reports to the Governor and the Legislature as may result from its studies.

(i) To submit to the Governor and the Legislature on or before the first day in May of each odd-numbered year a written report covering the activities of the Commission. The report shall include:

(i) statements of the nature, progress or result of any studies undertaken or completed during the two calendar years which ended on December 31st of the last preceding even-numbered year;

(ii) comments upon major developments, trends, new policies, budgets, and financial considerations which, in the judgment of the Commission will be useful in planning a sound program of higher education; and

(iii) recommendations respecting public higher education in this State as may be appropriate.

(j) To make rules and regulations for its meetings, procedures and execution of the powers and duties delegated to it by this Act.

(k) To encourage the establishment and development of formal consortia for the advancement of higher education compromised of institutions of higher education in the State.

(l) To conduct a program of public information in order to inform citizens of the State of matters of importance to higher education in Alabama.

Section 9. Evaluating and Revising the Commission.

Two years after the establishment of the Commission and during the last year of each gubernatorial term, the Commission shall appoint a committee of at least three consultants who are not associated with higher education in this State to evaluate the effectiveness of the work of the Commission and to recommend changes as needed. A report

prepared by the committee shall be submitted to the Governor, the Legislature, the presidents and governing boards of the public institutions of higher education of this State and the public.

Section 10. Governing Boards of Public Institutions of Higher Education - Powers and Duties.

Governing boards of the public institutions of higher education of this State shall retain all powers and duties heretofore given and conferred upon them by the Constitution or by any law expressed or implied, to governor, control and operate the institutions for which they are responsible. The Commission shall work with and support the respective boards and act in a fact-finding and advisory capacity.

Section 11. Appropriation.

To carry out the provisions of this Act, there is hereby appropriated from the Alabama Special Educational Trust Fund the sum of ninety thousand dollars ($90,000.00) for each of the fiscal years ending September 30, 1970 and September 30, 1971.

Section 12. Severability.

The provisions of the Act are severable. If any section, paragraph, sentence, clause, provision, or portion of this Act, be held unconstitutional or invalid, such holdings shall not affect any other section, paragraph, sentence, clause, provision, or other portion of this Act not in or of itself unconstitutional or invalid.

Section 13. Effective Date.

This Act shall become effective immediately upon its passage and approval by the Governor, or upon its otherwise becoming a law.

Approved May 14, 1969.

Time: 9:02 A.M.

I hereby certify that the foregoing copy of an Act of the Legislature of Alabama has been compared with the enrolled Act and it is a true and correct copy thereof.

Given under my hand this 15th day of May, 1969.

JOHN W. PEMBERTON

Clerk of the House

APPENDIX B

ALABAMA LAW

(Special Session, 1969)

Act No. 15

H. 42 - House, Holladay, Cook (Coffee), McCorquodale, Cook (Jefferson), Merrill, Drake, Collins (W), Pennington, Hill, Snell, Manley, Fite, McDonald, Mathews, Young, Laxson, Neville, Higginbotham, Dobbs, Grayson, Gloor, Owen, Mays, Williams, Jackson (Tom), Sessions, Culver, Ellis, Lemley, Edington, McElhaney, Berryman (R), Stubbs, Holman, Marr, Smith, Headley, Crane, Wood, Turnham, Perloff, Hain, Pruitt, Blanton, Hobbie, Harper, Owens (W), Jackson (F), Foshee, Steagall, Harris, Crawford, Bank, Melton, Hardin, Weeks, Garrett, Haygood, Slate, Robertson, Doss, Kilgore.

AN ACT

to provide for a continuous study of public education in Alabama;

to create an Educational Study Commission as a permanent agency of the state; to prescribe its composition, powers, duties, and to make an appropriation therefor.

Be It Enacted by the Legislature of Alabama:

Section 1. There is hereby created the Alabama Education Study Commission, (herein called the commission) which shall constitute a permanent agency of the state, and shall be composed of eight members, one from each congressional district, to be appointed by the Governor for terms of eight years. Of the members first appointed, two shall serve for two years, two shall serve for four years, two shall serve for six years, and two shall serve for eight years. Vacancies shall be filled by the Governor for the unexpired term. The commission shall meet at times and places determined by it, and the members shall be entitled to receive thirty dollars ($30.00) per diem and mileage on actual meeting days.

Section 2. The commission shall hold an organizational meeting within thirty days from the effective date of this act, and shall elect a chairman and vice-chairman from among its members. Five members of the commission shall constitute a quorum. The commission shall act only by a vote of a majority of its existing members.

Section 3. The commission shall have the authority to employ an executive secretary and such other personnel as, in its discretion, is needed for the performance of its duties. The commission shall also have the power to contract for research, legal, consultant, and other advisory and professional services, and for the making of surveys, audits, and any other studies it deems necessary. All regular employees of the commission, except the executive secretary, shall be subject to the merit system. Persons rendering services pursuant to contract shall not be subject to laws relating to public employees of the state, but shall be compensated out of funds made available to the commission in such amounts as may be fixed by the commission.

Section 4. The commission is authorized and directed to report to the legislature at each regular session with respect to the following:

(a) An analysis and evaluation of current educational programs and policies, and recommendations for changes and improvements therein.

(b) The financial needs for public education in the state, for each two year period, sub-divided and classified with such detail as may be found practicable. The report shall include estimates of rev-

enue from existing sources and recommended increases or decreases, separately divided or classified as to each school district or unit and for each county, and for the state as a whole to the extent practicable, together with a summary of the basis for any changes recommended with reference to sources of revenue. The report shall include estimated requirements separately with respect to primary schools, secondary schools, institutions of higher learning and other educational facilities and institutions, whether existing or proposed.

(c) The commission's recommendations and findings as to the responsibility of the State to provide revenue and appropriations with respect to primary schools, secondary schools, institutions of higher learning, and other educational facilities and institutions, properly classified as to each.

(d) The commission's recommendations concerning the responsibility of local support for primary and secondary schools within the separate counties, the effort currently being made at such local level, and the extent of local effort which should be provided in each such county or school system.

(e) Estimated requirements for capital outlay with respect to each classification of schools for buildings and other facilities.

(f) Recommendations as to the methods of financing of capital and operating requirements as to each type of educational institution and the division of public funds for educational purposes between the various types of educational institutions.

Section 5. The State Superintendent of Education, and all local boards of education and boards of trustees of the institutions of higher learning shall, on request of the commission, furnish to the commission information relative to the funds or sources from which the schools or institutions subject to their supervision, management, control, or operation, are currently receiving or entitled to revenue. The State Superintendent of Education, the State Department of Revenue, and all other departments and administrative divisions of the state, all counties, cities, and other municipal corporations, all colleges, universities, and other public educational institutions, all officers and employees thereof, and all local school boards shall also, upon request therefor, furnish to the commission such studies, surveys, statistics, and other information as they may have available. Any state, county, or municipal agency or institution shall make offices, supplies, and personnel available to the commission without charge to the extent consistent with the adequate performance of the functions of such agency. The commission shall have full power and authority to summon and examine all school and college officials and

local and state officials and require the production of such books, papers, documents, records, and memoranda, as may be necessary to the discharge of its responsibilities hereunder. In the performance of its duties the commission is authorized to utilize the services, information, facilities, and personnel of any department or agency in the State Government to the extent consistent with the functions of such agency.

Section 6. There is hereby appropriated for each of the fiscal years ending September 30, 1970 and September 30, 1971 from the Alabama Special Educational Trust Fund the sum of one hundred fifty-five thousand dollars ($155,000) to carry out the provisions of this act. Expenditures from such appropriation shall be made only upon approval of the Governor.

Section 7. The commission is authorized to accept gifts, devises or bequests and expend the same to carry out the provisions of this Act.

Section 8. The provisions of this Act are severable. If any part of the Act is declared invalid or unconstitutional, such declaration shall not affect the part which remains.

Section 9. This Act shall become effective immediately upon its passage and approval by the Governor, or upon its otherwise becoming a law.

Approved May 14, 1969.

Time: 9:12 A.M.

APPENDIX C

State of Alabama

15-Year Growth in Student Enrollment

	1963-1964	1977-1978
Public Four Year	33,367	97,758
Public Two Year	6,695	58,093
Private Four Year	12,193	16,751
Private Two Year	2,035	2,796
TOTAL	54,290	175,398

State of Alabama

15-Year Growth in State Appropriations

	1963-1964	1977-1978
Public Four Year	27,806,387	200,630,999
Public Two Year	2,867,291	59,246,521
TOTAL	30,673,678	259,877,520

APPENDIX D

PUBLICATIONS

ALABAMA COMMISSION ON HIGHER EDUCATION

Alabama Student Assistance Program--Third Annual Report--1977-78 Academic Year, November, 1978.

Annual Report--1977-78 Fiscal Year, November 1978.

Alabama Higher Education: A Summary of Legislation and Appropriations. The 1978 Legislature--Regular and Special Sessions, August, 1978.

Recommended Unified Budget for Postsecondary Education by Spending Units--1978-79 Fiscal Year, January, 1978.

Alabama Student Assistance Program--Second Annual Report--1976-77 Academic Year, November, 1977.

Recommended Unified Budget for Postsecondary Education by Spending Units--1977-78 Fiscal Year, March, 1977.

Recommended Unified Budget for Postsecondary Education by Spending Units--1976-77 Fiscal Year, March, 1976.

Student Source Survey, Alabama Institutions of Postsecondary Education, Summer and Fall Terms, 1975, May, 1976.

Degrees Conferred Between July 1, 1973 and June 30, 1974 in Alabama Colleges and Universities, December, 1975. Out of Print.

Planning Document Number One for the System of Higher Education in Alabama--Historical Background--Current Situation--General Recommendations, September, 1975.

Report and Recommendations: Committee to Evaluate the Effectiveness of the Alabama Commission on Higher Education, 1975, April, 1975. Out of Print.

Recommended Unified Budget for Postsecondary Education by Spending Units--1975-77 Biennium, February, 1975. Out of Print.

Report and Recommendation on State Acquisition of Athens College, January, 1975.

Degrees Conferred Between July 1, 1972 and June 30, 1973 in Alabama Colleges and Universities, June, 1974. Out of Print.

Biennial Report of the Alabama Commission on Higher Education--To the Governor and the Legislature, May, 1973. Out of Print.

Recommended Unified Budget for Postsecondary Education by Spending Units--1973-75 Biennium, March, 1973. Out of Print.

Student Flow--Summer and Fall Terms 1972--Alabama Institutions of Higher Education--Universities and Colleges, March, 1973. Out of Print.

A Special Report: Non-Resident Tuition Income at Alabama Public Senior Colleges and Universities, February, 1973. Out of Print.

Academic Program Inventory--Part 1--Senior Colleges and Universities, January, 1973. Out of Print.

Chief Executives and Members of Governing Boards of Alabama Institutions of Higher Education, 1972. Out of Print.

A Special Report: The Estimated Impact of the Basic Educational Opportunity Grant Program on Student Financial Aid at Alabama Colleges and Universities, 1972-73, November, 1972. Out of Print.

Degrees Conferred Between July 1, 1971 and June 30, 1972 in Alabama Colleges and Universities, November, 1972. Out of Print.

A Study of Undergraduate Student Financial Aid in Alabama 1972-73, September, 1972. Out of Print.

A Study of Undergraduate Admissions to Alabama Colleges and Universities, 1971-72, August, 1972. Out of Print.

Alabama College Manpower: A Preliminary Study of Supply and Demand, May, 1972. Out of Print.

Fact Book 1971-72 Alabama Institutions of Higher Education, Universities and Colleges, May, 1972. Out of Print.

Academic Program Inventory--Part 1--Senior Colleges and Universities, December, 1971. Out of Print.

APPENDIX E

VITAE
1978 MEMBERS

COMMITTEE TO EVALUATE THE EFFECTIVENESS OF HIGHER EDUCATION

LOUIS W. BENDER
PROFESSOR OF HIGHER EDUCATION
DIRECTOR, STATE AND REGIONAL HIGHER EDUCATION CENTER
FLORIDA STATE UNIVERSITY
TALLAHASSEE, FLORIDA

Ed.D., Lehigh University; Temple University; New York University; M.A., Lehigh University; B.A. Moravian College. Assistant commissioner for higher education, Pennsylvania Department of Education (1968-1970); director, Bureau of Community Colleges, Pennsylvania Department of Education (1964-1968); assistant county superintendent, Bucks County Public Schools (1962-1964); visiting professor: Syracuse University, Lehigh University, North Carolina State University. Director, Community College Project (1962-1964) and coordinator, Study Council Summer Program (1963-1965), Bucks County; chairman, National Council of State Directors of Community/Junior Colleges (1968-1969); vice president (1974-1975) and president (1975-1976), Council of Universities and Colleges, AACJC; staff director, consortium of COMBASE (1974-1976). Member of advisory committee, Pennsylvania Higher Education Assistance Agency (1967-1970); advisory board, ERIC Clearinghouse for Junior Colleges (1969 and 1974), for Higher Education (1975-1978); planning board, Education Commission of the States, SHEEO Project for Staff Development. Recipient of "Governor's Award for Excellence" Pennsylvania (1967) and first annual recipient, "Governor's Award for Excellence for Commonwealth Employees" Pennsylvania (1968).

ROBERT O. BERDAHL
CHAIRMAN AND PROFESSOR OF HIGHER EDUCATION
DEPARTMENT OF HIGHER EDUCATION
STATE UNIVERSITY NEW YORK
BUFFALO, NEW YORK

Ph.D., University of California at Berkeley; M.Sc., with distinction, London School of Economics and Political Science; B.A., University of California, Los Angeles; assistant professor, associate professor, acting department chairman of political science, San Francisco State College; director, Study of Statewide Coordination of Higher Education, American Council on Education, Washington, D.C., (1966-1967); project

director, Comparative Higher Education Research in Western Europe, International Council for Educational Development (1972); interim senior staff consultant, California Postsecondary Education Commission, Sacramento, California (1974); senior fellow, Carnegie Council on Policy Studies in Higher Education, Berkeley, California (1974-1976). Elected member of the first executive committee, vice president and president, Association for the Study of Higher Education; recipient of Ford Foundation Grant to engage in research on British University Grants Committee, London, England, (1978); Rotary International Fellowship, Paris, France (1952-1953); British Government Marshall Scholarship, London (1955-1957); Guggenheim Fellowship, London (1968-1969); Ford Foundation Grant, London (1978); Visiting Scholar, University of London, Institute of Education.

J. GILMER BLACKBURN
ATTORNEY
DECATUR, ALABAMA

LL.M., New York University Law School; LL.B. University of Alabama; B.S. Auburn University. Member: American Bar Association, Section of Taxation, Committee on Insurance Companies; Alabama Bar Association, Section of Taxation, past chairman, Liaison Committee District Director of the Internal Revenue Service, and Federal Tax Clinic Committee; Morgan County Bar Association, past president; Auburn Alumni Association, past president; University of Alabama Law School Alumni Association, Director; Auburn University Foundation, Vice-Chairman; voted Outstanding Young Man of Year, 1962; Mayor of Decatur (1962-1968); former member, Democractic Executive Committee of the State of Alabama.

WILLIAM STYNE BREWBAKER, JR.
PRESIDENT, BREWBAKER MOTORS, INC.
MONTGOMERY, ALABAMA

LL.B., Vanderbilt School of Law; A.B., Vanderbilt University. Practicing attorney, Montgomery (1970-1976); member: American Bar Association, American Trial Lawyers Association, Montgomery County Bar Association, Young Presidents Organizations; Bar admissions: Supreme Court of Tennessee, Supreme Court of Alabama, United States Supreme Court, Court of Military Appeals, United States District Court, United States Court of Appeals, 5th Circuit. Past and present civic activities, Board of Directors: Montgomery City-County Library, Voluntary Action Center, Central YMCA; president: Montgomery Tennis Association and Leukemia Society; Chairman: Montgomery Cancer Crusade, Blue-Gray Tennis Tournament; member Phi Eta Sigma, Phi Beta Kappa.

GAINES RAY JEFFCOAT
PRESIDENT, OPP AND MICOLAS COTTON MILLS
OPP, ALABAMA

M.E., B.S., Duke University; attended Auburn and Perkinston Junior College. Director: Alabama Electric Cooperative, Johnston Industries, Inc., Opp and Micolas Cotton Mills, Southern Phenix Textiles, First National Bank of Opp, Goodwin Industries of Central Alabama, Mizell Memorial Hospital, Opp Chamber of Commerce, Alabama Chamber of Commerce; past president: Alabama Textile Manufacturers Association, Alabama Textile Operating Executives, Alabama Textile Education Foundation, State Advisory Board for Vocational Education; past member of President's Council for Engineering, Auburn University and Opp City Council; member: MacArthur Technical College Committee, American Textile Manufacturers Institute Education Committee, Phi, Psi Textile Honorary Society.

NINA MIGLIONICO
ATTORNEY AND TAX CONSULTANT
BIRMINGHAM, ALABAMA

LL.B., University of Alabama Law School; A.B., with honors, Howard College. Elected to Birmingham City Council (1963, 1965, 1969, 1973, 1977), President (1977); only woman to serve on House of Delegates - American Bar Association (1959-1961); first woman appointed as member of the Citizens' Advisory Committee to the Commissioner of Internal Revenue; appointed to Committee on Insurance and Taxes of the President's Commission on the Status of Women during administration of President Kennedy and President Johnson; Woman of Achievement Award for Alabama (1954); Birmingham Women of the Year (1963); past president: National Association of Women Lawyers, Alabama Federation of Business and Professional Women's Club, Alabama Women Lawyer's Association; Alabama Joint Legislative Council, Alabama Merit System League; member of the National Committee on Social and Economic Issues, AAUW.

JAMES A. NORTON
VISITING CHANCELLOR
CASE WESTERN RESERVE UNIVERSITY
CLEVELAND, OHIO

Ph.D., and M.A., Harvard University; M.A. and B.A., Louisiana State University. Served on the faculties of Louisiana State University and the University of Texas; chairman, division of instruction, school of public administration, Florida State University; assistant to the head of the department of public health practice, Harvard University professor, Case Western Reserve University. Former chancellor of the

Ohio Board of Regents (1973-1978); president of the Greater Cleveland Associated Foundation (1963-1973); director of the Cleveland Foundation (1967-1973); president of the American Society of Public Administration; member of the board of trustees of the Council on Foundations; member of the executive committee of the State Higher Education Executive Officer's association. Presently serving as visiting chancellor of Case Western Reserve University in Cleveland, assisting in the development of a university plan for 1980-1985.

OTIS A. SINGLETARY
PRESIDENT
UNIVERSITY OF KENTUCKY
LEXINGTON, KENTUCKY

Ph.D., Louisiana State University; LL.D., Millsaps College (1976); LL.D., Transylvania University (1977); M.A. Louisiana State University; B.A., Millsaps College; instructor (1954-1956), assistant professor (1957-1958), associate professor (1959), professor (1960, associate dean of arts and sciences (1956-1959), assistant to the president (1960-1961), University of Texas; chancellor, the University of North Carolina at Greensboro (1961-1966); chancellor-on-leave to serve as director of The Job Corps, Office of Economic Opportunity, Washington, D.C., (October 1964-January 1966); vice president, American Council on Education (1966-1968); executive vice chancellor for academic affairs, University of Texas System (1968-1969); president, University of Kentucky (1969-----). The director for the superior student program and advisor to the junior fellow in the college of arts and sciences, the University of Texas; regional chairman (Texas and Louisiana) Woodrow Wilson national fellowship foundation; associate editor, Southwestern Historical Quarterly; chairman, N.C. committee on selection of Rhodes scholars (1964, 1965, 1966), Kentucky committee (1970, 1971, 1973, 1974); member of board of directors of American Association for Higher Education, Educational Change, Inc., Southern Regional Education Board, Federal Reserve Bank of Cleveland, Anchor Hocking Corporation, Dana Corporation; Howell Corporation; chairman, Department of Army Historical Advisory Committee.

ARTHUR TONSMEIRE, JR.
CHAIRMAN, PRESIDENT AND CHIEF EXECUTIVE OFFICER
FIRST SOUTHERN FEDERAL SAVINGS AND LOAN ASSOCIATION
MOBILE, ALABAMA

B.S., Washington and Lee University. Board of Directors: Federal Home Loan Bank of Atlanta (Vice Chairman), Mobile Area Chamber of Commerce, Alabama Chamber of Commerce, Mobile Cattlemen's Association, Alabama Association of Independent Colleges; First Mississippi National Bank;

Inter-American Savings and Loan Union; past president National Savings and Loan League; Legislative Committee, United States League of Savings Associations; Executive Committee and U.N. Development Committee, International Union of Building Societies and Savings Associations; Board of Trustees, United Appeal of Mobile County (Past Campaign Chairman); President: Honorary Fellows, Mobile College; Chairman Emeritus, Alabama-Guatemala Partners of the Americas; Vice-Consul, Republic of Honduras.

APPENDIX F

Problem of Criteria for Evaluating

Statewide Coordinating Boards

Evaluation of a state-wide coordinating board can take any or all of three routes: an assessment of the extent to which the board in question was effective in discharging its assigned responsibilities with its assigned powers (however inadequate either or both of these may be), a comparison of board performance with that of some ideal national model, or an attempt to estimate the board's probable future effectiveness in the face of the particular conditions and problems facing higher education in that state.

This Evaluation Committee has based its findings largely on the first and third approaches to board assessment but hopes that this report may itself contribute to the complex ongoing search for refined national models.

For interested audiences, the Committee lists here the major existing sources concerning generalized criteria for evaluating state-wide boards, and the vice-chairman of the Committee plans to co-author an article shortly for a professional journal further elaborating on the evaluation process.

A monograph published by the Berkeley Center for Research and Development in Higher Education in 1971, Coordinating Higher Education for the Seventies (Glenny, Berdahl, Palola and Paltridge) delineated the minimum powers necessary for a state-wide board to accomplish its purposes. However, the document provided no criteria for judging whether or not the functions were being effectively discharged.

The introductory and concluding essays in R. O. Berdahl, Editor, Evaluating Statewide Boards, New Directions in Institutional Research, No. 5, Spring 1975 reviews the state of the art to that time mentioning in particular a University of Missouri task force that established thirteen process criteria in evaluated state-wide boards in nine states accordingly. Report to the President of the University of Missouri (Task Force on State Level Coordination and Governance of Higher Education, 1972).

Since that time several other relevant items have appeared. The first Alabama Evaluation Committee reported in 1975: The Alabama Commission on Higher Education: An Evaluation, but included no explicit treatment of its criteria. The Association of Governing Boards in 1977 issued a series of self-evaluation kits for boards at different

types of institutions, and two of their number include the state-wide coordinating board and the state-wide governing board.

In 1977 the South Carolina Legislative Audit Commission (LAC) undertook an evaluation of the South Carolina Commission on Higher Education. The LAC drew up an elaborate set of research criteria covering such fields as planning, budget review and program review, and later issued its report, Management and Operational Review of the South Carolina Commission on Higher Education (1978). This committee in 1978 sent the South Carolina criteria to some seventy persons and agencies around the country, seeking reaction to the general validity of the criteria. Of the forty replies, there was such a wide variety of reaction that it was not possible to make them operational for purposes of evaluating the Alabama Commission. The replies will be analyzed, however, in the forthcoming article already mentioned. Pending that time, a reply by Dr. Stephen Bailey of Harvard University suggesting four overriding questions will provide a suitable conclusion to this Appendix:

1. Is the intellectual/analytical work of the Commission of high quality? Here, a peer review of selected reports and studies should be adequate.

2. Is there a sense on the part of the Governor and the Legislature that the Commission's activities are helpful to them in making at least quasi-rational judgments about higher education support and development?

3. Do the affected colleges and universities feel that they are being dealt with by the Commission in a fair and understanding manner--granted disagreements about the final recommendations?

4. Does the Commission operate on the basis of a philosophy of higher education that goes beyond simplistic manpower, occupational, and formula projections, and that endorses a maximum amount of institutional autonomy in making decremental as well as incremental decisions?

APPENDIX G

Further Comment on Relations Between the Commission and Two-Year Institutions

The 1975 Evaluation Committee concluded that the relationship between the Commission and the two-year institutions was not good. At that time it was observed that the Commission had established a higher priority for addressing the problem of baccalaureate and graduate higher education and thus did not involve the two-year postsecondary system as it ideally should have. At the same time, the first Evaluation Committee found that the two-year institutions, particularly the presidents, were less than sympathetic to the purposes of the Alabama Commission on Higher Education and frequently failed to cooperate in matters where their involvement was needed.

The Alabama State Board of Education is the legal governing board for the public two-year institutions with the State Superintendent of Education being the Chief Executive Officer of the System and the State Department of Education having administrative responsibilities for the two-year postsecondary system. The 1975 Evaluation Committee found a lack of cooperation between the State Board and the Commission as well as between the State Department of Education and the staff of the Commission. That Evaluation Committee concluded that serious attention should be given to improving the working relationship and incorporating the two-year system into the scope of Commission coordination responsibilities in parity with the baccalaureate institutions and universities. Several recommendations were made by the 1975 Evaluation Committee envisioned to achieve that goal. One of the recommendations was directed toward the Alabama State Board of Education and the State Superintendent urging that full participation of the two-year institutions under their control in the activities of the Alabama Commission on Higher Education be encouraged and required. The other recommendation was addressed to the Commission and called upon it to obtain additional staff having competencies or expertise in the area of two-year postsecondary education.

At present the situation appears to have improved but still is far from what it should be. Evidence presented to this Evaluation Committee would suggest that although both recommendations have been followed, the problems observed at that time still seem to exist. The State Superintendent has given direct and public support to the coordinating responsibilities and functions of the Commission. The staffs of the Commission and the State Department of Education have

sought to coordinate their program review procedures and have tried to establish agreements on a division of labor which would remove duplication or surveillance-type activities. Nevertheless, misunderstandings have developed and at the time of the present Commission evaluation, the State Superintendent of Education had just terminated an agreement on program review procedures pending the development of specific criteria by the Commission for program review designed to remove the duplication of efforts.

The relationship between the Commission and the presidents of the two-year colleges have also improved but have not achieved the level of cooperation, confidence, and commitment needed if Alabama is to have the educational and economic benefits of a coordinated comprehensive system of postsecondary education. When invited to participate in advisory roles, presidents of two-year institutions have not had a good record of attendance or participation.

The second recommendation of the 1975 Evaluation Committee that the Commission on Higher Education staff include expertise in the two-year college has been followed with the appointment of a staff member previously employed in an Alabama junior college. Liaison with the Alabama Association of Junior Colleges has been maintained by the staff member and some communications have been established with a number of two-year institutions. No significant attitudinal change could be observed, however, and this Evaluation Committee concluded that several areas of misunderstanding still exist. Among them are governance, mission, and staff role.

GOVERNANCE

In reality the Alabama State Board of Education is the governing board for the forty-three two-year postsecondary institutions and has comparable jurisdiction and responsibility to that of the governing boards of senior institutions. The State Superintendent, as the Chief Executive Officer, is comparable to the chancellor of a multi-campus university system. Therefore, matters of coordination between the technical colleges, junior colleges, and community colleges are actually the internal responsibilities of the State Board of Education in the same sense that coordination and articulation among the units of a university are the responsibility of that university governing board and its president.

The coordination responsibilities of the Alabama Commission on Higher Education among and between the various segments of postsecondary education would more specifically focus its scope of activities between the sector of senior institutions and the sector of two-year institutions under the State Board. Obviously, it is important for the Commission to play a leadership role in the development of policies

to enhance postsecondary education through planning, program review, budget review, and information gathering/dissemination which make it important for the Commission to work with the presidents of the two-year colleges directly, just as the Commission works with the various professional and graduate schools directly within the state.

This Evaluation Committee believes there is need for a better delineation of responsibilities, as well as administrative procedures, between the Commission, the State Board of Education and the two-year institutions. Because of the size of the two-year system contrasted with the senior institutions, there is need for special, specific efforts to overcome misunderstandings and to establish effective lines of communications at the several levels. The present Council of University Presidents should include the State Superintendent of Education in its membership and, perhaps, even be renamed. In addition, the Commission together with the State Superintendent should develop the Commission Council of Junior Presidents and Technical College Directors into a viable form for exploring problems of planning, coordination and articulation within the two-year system as well as between and among all postsecondary institutions in Alabama. Because of the history of poor working relationships, the latter will not be easily achieved even though there are numerous critical problems and issues concerning two-year institutions which the umbrella coordinating agency of the Commission can help. As successful achievements are experienced, credibility and increased participation will result.

MISSION

One of the major problems confronting the state of Alabama has been duplication and proliferation of branches and off-campus operations. The Evaluation Committee was struck with the almost unanimous plea of witnesses that the Commission be strengthened to remove such proliferation and resultant encroachment upon service areas of existent institutions. A contradiction between this goal and the perceived mission of the junior/community colleges emerges, however.

Since these colleges in Alabama tend to follow the community college model, they have adopted a mission of open admission and access to postsecondary education. Nationally, such a mission has resulted in two-year institutions establishing satellite centers at or near any concentration of population and offering courses in late afternoons or evenings as well as on weekends. Because Alabama has so many two-year institutions and because many four-year institutions in Alabama have recently adopted an open admissions policy, satellite centers and off-campus programs continue to emerge. Such is not healthy for the state of Alabama since it generates unhealthy competition among the institutions and also frequently results in either

poor quality offerings or overly expensive education supported by the taxpayers of Alabama.

The Evaluation Committee recommends that long-range planning and specific criteria for satellite or off-campus programs be developed in Alabama. The problem for the two-year colleges which perceive outreach as part of their mission should be addressed by a special task force to study the problem and develop appropriate criteria.

STAFF ROLE

The recommendation of the 1975 Evaluation Committee calling for the Commission staff to have two-year college expertise did not address a subtle but cogent problem of perception between the two-year institutions and Commission. At the time of that recommendation, it was observed that the Commission had been confronted with establishing priorities to begin statewide coordinating and planning processes. Since problems at the senior institution level were more acute, the Commission deliverately emphasized and concentrated upon that segment of higher education during the early years. Now, however, with improved working relationships between the Commission and State Board and with the employment of a staff member having two-year experience, it might be assumed that the relationship would be significantly improved. Such does not seem to be the case, however.

The 1978 Evaluation Committee observed procedures which may unintentionally be provoking negative perceptions by the two-year institutions. For example, use of the term "sub baccalaureate" in a number of Commission publications could well lead to negative perceptions since such a term does not appear in the literature for the two-year associate degree institutions. In fact, the associate degree has a specific purpose and is distinctive from the baccalaureate degree and, therefore, should not be viewed as a sub unit or component of the baccalaureate.

The Evaluation Committee also observed that program review procedures outlined by the Commission staff for the two-year institutions implied a "policing" rather than a "review" function. Contacts made to verify the contents of endorsement letters for the intent of potential employers to determine whether they had submitted such letters communicate an aura of distrust quite out of character with a professional agency. The Evaluation Committee believes the questions related to statewide coordination should be different from those questions asked by a governing board of its constituent institution when considering new programs.

In summary, the 1978 Evaluation Committee found the relationship between the Commission and the two-year institutions somewhat improved but still less than it should be. There is need for the Commission staff to reexamine its program review procedures and criteria to be sure that it is consistent with the coordinating responsibilities rather than the internal program evaluation responsibilities of the governing board, in this case, the State Board of Education. There is also need to acknowledge the Chief Executive Officer responsibility of the State Superintendent and its comparability to that of a chancellor of the University of Alabama system. The participatory approach to policy and regulation formulation which has occurred between the Commission and the universities should become equally as operational with the two-year institutions with the State Superintendent, his staff, and the presidents/directors of the two-year institutions. The Alabama Commission on Higher Education has authority for organizing advisory groups and should use this authority to establish better lines of communication with the two-year institutions. At the same time, however, the Commission should recognize the primary responsibility of the State Board of Education for resolving conflicts between and among the junior colleges, technical colleges, and community colleges. The Commission should not attempt to second guess or otherwise impose its judgment over such a process. Finally, the Commission should recognize the subtle but negative consequences of procedures or terminology which would imply that the two-year institutions are not full-fledged and worthy members of the postsecondary education system of Alabama.